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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/003,954	10/31/2001	Yoshiyuki Kaniwa	JP920000348US1	4764

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HOFFMAN WARNICK & D'ALESSANDRO, LLC  
75 STATE STREET  
14TH FLOOR  
ALBANY, NY 12207

EXAMINER
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NGUYEN, NGA B

ART UNIT	PAPER NUMBER
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3692

MAIL DATE	DELIVERY MODE
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05/24/2007

PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

# Office Action Summary

Application No.

10/003,954

Applicant(s)

KANIWA ET AL.

Examiner

Nga B. Nguyen

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 28 February 2007.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-16 is/are pending in the application.
- 4a) Of the above claim(s) 13-16 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-12 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- ☐ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.
- ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date: \_\_\_\_\_.
- ☐ Notice of Informal Patent Application
- ☐ Other: \_\_\_\_\_.

### **DETAILED ACTION**

1. This Office Action is the answer to the Amendment filed on February 28, 2006, which paper has been placed of record in the file.
2. Claims 1-12 are elected for consideration.

### ***Response to Arguments/Amendment***

3. Applicant's arguments with respect to claims 1-12 have been considered but are not persuasive.

In response to applicant's arguments that Brady does not disclose "total said data according to a field value defined by said stored grouping function specified in said execution command", examiner submits that see Brady figures 8-19, that contain a plurality of grouping data (figure 8, Control file, Loan static information, Loan dynamic information, etc...), each grouping data is represented a table contained a plurality of fields (figures 9-18). The system in Brady uses the grouping of data to perform the different processes: Administrative processes, reporting process, data load process, etc...(column 12, lines 37-column 20, line 50), thus the grouping in Brady is used in the processing of the data. Moreover, Brady discloses "a stored grouping function enabled to define a field valued used to group said data", for example, see figure 11, a table represented Loan dynamic information, changing loan dynamic information will cause the loan being terminated, thus Brady does include a function to "define" a dynamic data element of a loan.

In conclusion, for the reason set forth above, examiner decides to maintain the previous rejection and make this Office action FINAL.

4. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a).

Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

### ***Claim Rejections - 35 USC § 102***

5. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

6. Claims 1-12 are rejected under 35 U.S.C. 102(e) as being anticipated by Brady, U.S. Patent No. 6,633,875.

Regarding to claim 1, Brady discloses a database system that manages, totals and processes data on a predetermined condition, the system comprising:

a data storage unit for storing data (figures 1-2 and column 6, lines 55-67, database server 8 includes database 20);

a data base management unit for managing input/output of said data to/from said data storage unit (figure 2 and column 7, lines 1-8, system administrator workstation 28);

a data processor for controlling said data base management unit to obtain desired data from said data storage unit and process said data (figure 2 and column 7, lines 1-8, system administrator workstation 28); and

a stored grouping function enabled to define a field value used to group said data (figures 14-19 and column 8, lines 25-27, grouping static data),

wherein the data processor executes:

program code configured to enter an execution command that specifies said stored grouping function used in a data processing (column 10, lines 10-20, a table 50 contain static data and dynamic data); and

program code configured to instruct said data base management unit to total said data according to a field value defined by said stored grouping function specified in said execution command (column 10, line 10-column 11, line 20).

Regarding to claim 2, Brady further discloses, wherein said system further comprises a stored totaling function which sets both condition and method for totaling data, and said data processor executes; program code configured to enter an

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execution command that is a combination of said stored functions for grouping and totaling data; and program code configured to instruct said data base management unit to total said data on said condition and by said method for totaling data, set by said stored totaling function according to a field value defined by said stored grouping function (column 10, line 10-column 11, line 20).

Regarding to claim 3, Brady further discloses wherein said data processor further comprises an asynchronous server, and said asynchronous server creates an SQL statement that includes procedures for using said stored grouping and totaling functions so as to instruct said data base management unit to execute said SQL statement (figures 1-2, development workstation 10 or administration workstation 28, and column 15, lines 48-52).

Regarding to claim 4, Brady further discloses wherein said system further comprises an input device for entering information on a definition of said field value defined by said stored grouping function, and said data processor creates an SQL statement used to create said stored grouping function according to said information entered via said input device and instruct said data base management unit to execute said created SQL statement (column 7, lines 1-7, administrator workstation 28 entering data into the database system).

Claims 5-6 contain similar limitations found in claims 1-4 above, therefore, are rejected by the same rationale.

Claims 7-9 contain similar limitations found in claims 1-4 above, therefore, are rejected by the same rationale. Moreover, Brady further discloses said data processor

calculates cash flow and corrects said calculated cash flow according to the properties of said financial data in each group defined by said field valued defined by said stored functions (column 10, lines 40-47); wherein said property information input device decides a predetermined setting period and enters said property information in each set period (column 10, lines 15-20, periodic updating the database).

Regarding to claim 10, Brady discloses a data processing apparatus, comprising:  
an input device for entering definition information that includes an original field expression used to group data in an analysis mother data base, definition of a new field value used to group said data newly, and a range in which said new field value is effective (figure 2 and column 7, lines 1-7, administrator workstation 28 entering data into the database system); and

a data processor connected to a data base management unit of said analysis mother data base and enabled to create an SQL statement used to instruct said data base management unit to create a stored function for setting a field value corresponding to said definition information in case said data base management unit extracts data according to said definition information received via said input device (figure 2; column 7, lines 1-8, system administrator workstation 28; and column 15, lines 48-52).

Claim 11 contains similar limitations found in claim 10 above, therefore, is rejected by the same rationale.

Claim 12 contains similar limitations found in claim 7 above, therefore, is rejected by the same rationale.

***Conclusion***

7. Claims **1-12** are rejected.
8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to examiner Nga B. Nguyen whose telephone number is (571) 272-6796. The examiner can normally be reached on Monday-Thursday from 9:00AM-6:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Richard E. Chilcot can be reached on (571) 272-6777.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (571) 272-3600.

9. Any response to this action should be mailed to:

Commissioner of Patents and Trademarks  
C/o Technology Center 3600  
Washington, DC 20231

Or faxed to:

(571) 273-8300 (for formal communication intended for entry),

or

(571) 273-0325 (for informal or draft communication, please label "PROPOSED" or "DRAFT").



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Hand-delivered responses should be brought to Knox building, 501 Dulany  
Street, Alexandria, VA, First Floor (Receptionist).

A handwritten signature in black ink, appearing to read 'Nga Nguyen', written in a cursive style.

NGA NGUYEN  
PRIMARY EXAMINER

May 10, 2007